

JFL



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Gerard Harbers, William D. Collins III  
Assignee: Lumileds Lighting U.S., LLC  
Title: Lens and Lens Cap with Sawtooth Portion for Light Emitting Diode  
Serial No.: 10/678,541 Filing Date: October 3, 2003  
Examiner: Not yet assigned Group Art Unit: 2879  
Docket No.: LUM-03-09-05

San Jose, California  
April 12, 2005

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97(c) - NO FEE  
WITH CERTIFICATION UNDER 37 CFR § 1.97(e)(1)**

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, 1.97 and 1.98, Applicants wish to call the documents listed on the enclosed forms PTO/SB/08A and PTO/SB/08B to the Examiner's attention for the above-identified patent application. Copies of the foreign documents are enclosed. Copies of the cited US Patents documents are not enclosed as the requirement under 37 CFR 1.98 (a)(2)(i) is waived. The documents were first cited by in a corresponding foreign Application No. 04104821.6, on January 19, 2005.

Citation of the above documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or

PATENT LAW  
GROUP LLP  
2635 N. FIRST ST.  
SUITE 223  
SAN JOSE, CA 95134  
(408) 382-0480  
FAX (408) 382-0481

3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

The undersigned hereby certifies in accordance with § 1.97(e)(1) that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

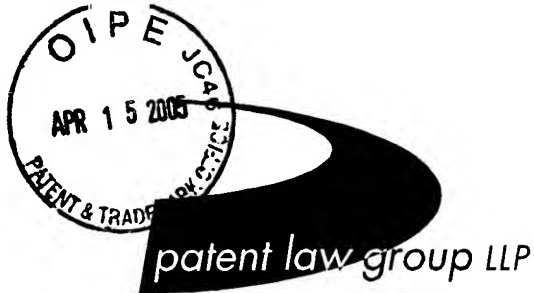
  
\_\_\_\_\_  
Attorney for Applicant(s)

4/12/05  
\_\_\_\_\_  
Date

Respectfully submitted,



Brian D. Ogonowsky  
Attorney for Applicant(s)  
Reg. No. 31,988



Brian D. Ogonowsky

Carmen C. Cook

David C. Hsia

Rachel V. Leiterman

April 12, 2005

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Re: Applicant(s): Gerard Harbers, William D. Collins III  
Assignee: Lumileds Lighting U.S., LLC  
Title: Lens and Lens Cap with Sawtooth Portion for Light Emitting Diode  
Serial No.: 10/678,541  
Examiner: Not yet assigned  
Docket No.: LUM-03-09-05  
Filed: October 3, 2003  
Group Art Unit: 2879

Dear Sir:

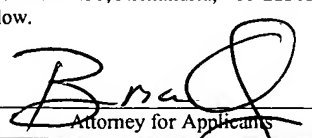
Transmitted herewith are the following documents in the above-identified application:

- (1) Return Receipt Postcard;
- (2) This Transmittal Letter;
- (3) Information Disclosure Statement (2 pages);
- (4) Forms PTO/SB/08A and PTO/SB/08B citing 11 references;
- (5) Four (4) Cited References;
- (6) Copies of the foreign documents are enclosed. Copies of the cited US Patents documents are not enclosed as the requirement under 37 CFR 1.98 (a)(2)(i) is waived.

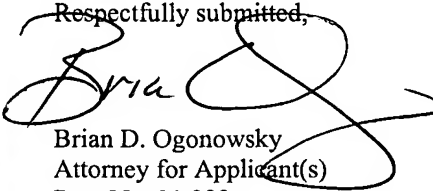
- ☒ No additional fee is required.  
☐ The fee has been calculated as shown below:

<input type="checkbox"/>	Please charge our Deposit Account No. 502226 in the amount of	\$	0.00
<input checked="" type="checkbox"/>	Conditional Petition for Extension of Time: If an extension of time is required for timely filing of the enclosed document(s) after all papers filed with this transmittal have been considered, an extension of time is hereby requested.		
<input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 502226.		
<b>Total: \$</b>			0.00

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

  
Attorney for Applicant(s)

4/12/05  
Date

Respectfully submitted,  
  
Brian D. Ogonowsky  
Attorney for Applicant(s)  
Reg. No. 31,988



Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

*(Use as many sheets as necessary)*

Sheet	1	of	2
-------	---	----	---

**Complete if Known**

Application Number	10/678,541
Filing Date	October 3, 2003
First Named Inventor	Gerard Harbers
Art Unit	2879
Examiner Name	Not yet assigned
Attorney Docket Number	LUM-03-09-05

## U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		EP 1 256 835 A2	11-13-2002	Lumileds Lighting		
		EP 1 229 377 A2	8-7-2002	Nokia Corporation		
		GB 2 311 643 A	10-1-1997	Samsung Display		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>4</sup>Applicant's unique citation designation number (optional). <sup>5</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>6</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Complete if Known</b>			
		Application Number	10/678,541		
		Filing Date	October 3, 2003		
		First Named Inventor	Gerard Harbers		
		Art Unit	2879		
		Examiner Name	Not yet assigned		
Sheet	2	of	2	Attorney Docket Number	LUM-03-09-05

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Partial European Search Report and Annex to the European Search Report, 9 pages.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.